

**CALIFORNIA BOARD OF ACCOUNTANCY**

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**REPORTABLE EVENTS****Court Clerk Reporting Form**

Pursuant to California Business and Professions Code Section 5063.1
 (Please read the attached information before completing and submitting this form.)

Court: _____

Address: _____

Contact Person: _____ Telephone: () _____

LICENSED ACCOUNTANT AND/OR LICENSED ACCOUNTING FIRM
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Licensee Name _____ License Number _____

Company Name _____ License Number _____

Address _____

CONVICTIONS

Please attach copy of conviction and any order or opinions of the court accompanying or ordering the conviction.

Please check the appropriate box

☐ **Felony** [Section 5063(a)(1)(A)].

☐ **Other Criminal Conviction** [Section 5063(a)(1)(B) or (C)] (Any crime related to the practice of public accountancy including theft; embezzlement; misappropriation of funds or property; breach of a fiduciary responsibility; the preparation, publication, or dissemination of false, fraudulent, or materially misleading financial statements, reports, or information.)

Docket Case No. _____

Filing Date _____

JUDGMENTS

Please attach copy of conviction and any order or opinions of the court accompanying or ordering the conviction.

Docket Case No. _____ Date _____

Plaintiff Name _____

Plaintiff's Attorney Name _____

Plaintiff's Attorney Address _____

The following are excerpts from the California Business and Professions Code.

Section 5063.1. Within 10 days of entry of a conviction described in paragraph (1) of subdivision (a) of Section 5063 or a judgment described in subdivision (c) of Section 5063 by a court of this state, the court that rendered the conviction or judgment shall report that fact to the board and provide the board with a copy of the conviction or judgment and any orders or opinions of the court accompanying or ordering the conviction or judgment.

Section 5063(a). A licensee shall report to the board in writing of the occurrence of any of the following events occurring on or after January 1, 1997, within 30 days of the date the licensee has knowledge of these events:

(1) The conviction of the licensee of any of the following:

- (A) A felony.
- (B) Any crime related to the qualifications, functions, or duties of a public accountant or certified public accountant, or to acts or activities in the course and scope of the practice of public accountancy.
- (C) Any crime involving theft, embezzlement, misappropriation of funds or property, breach of a fiduciary responsibility, or the preparation, publication, or dissemination of false, fraudulent, or materially misleading financial statements, reports, or information.

As used in this section, a conviction includes the initial plea, verdict, or finding of guilt, pleas of no contest, or pronouncement of sentence by a trial court even though that conviction may not be final or sentence actually imposed until appeals are exhausted.

Section 5063(c). A licensee shall report to the board in writing, within 30 days of the entry of the judgment, any judgment entered on or after January 1, 2003, against the licensee in any civil action alleging any of the following:

- (1) Dishonesty, fraud, gross negligence, or negligence.
- (2) Breach of fiduciary responsibility.
- (3) Preparation, publication, or dissemination of false, fraudulent, or materially misleading financial statements, reports, or information.
- (4) Embezzlement, theft, misappropriation of funds or property, or obtaining money, property, or other valuable consideration by fraudulent means or false pretenses, or other errors or omissions.
- (5) Any actionable conduct by the licensee in the practice of public accountancy, the performance of bookkeeping operations, or other professional practice.

Please submit the report to:

**California Board of Accountancy
Attention: Enforcement Division
2000 Evergreen Street, Suite 250
Sacramento, CA 95815**